

DESCRIPTION:PROCEDURE

DOC. NO.: É EHSP-036Ê

REV.: É AÊ

DESCRIPTION: -BÑ3)AQU2D.3ÏPÓ

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Confidential : () Level 3 AP () Level 2 A () Level 1 n5

AMENDMENT RECORDS

REV	CHANGE DESCRIPTION	EFF. DATE	PREPARED BY	APPROVED BY
A	Ï /New Release	03/29/2021	DM /EHS	:% /SD

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- 1 6 / PurposeÛ
-EEDDBDILB6%a?.yBž%4p3)DB•AÇU(C,ã1Vn26D)AÇU98÷ ,Û
99%B)D9.ã-É(DBLÇe8)DB•AÇU6E@W4K/0.DBÑWD1.,5=JA
=WDEA:0BÑDAXD1.→BÑB)AÇU2BÑDØX2/0ED;=*AÑ.-A93P2D
DAX0‘ RCI BÑV=3)AÇU9ØR(D8TA.AÇUC)ED6A9(D)ADDQ)AÇU=Y
6,)AÇUD/364GD
- 2 A / ScopeÛ
- 2.1 R / Business ScopeÛ
(.LØ8E3)DB•AÇUD
- 2.2 R / Business Process CodeÛ
?
- 3 % / Related DocumentÛ
- 3.1 B9mAK52>BÑB É Responsible Business Alliance Code of Conduct Ê=™D Û
<http://www.responsiblebusiness.org/standards/code-of-conduct/>
- 3.2 EÛ <http://www.ohchr.org/CH/UDHR/Pages/UDHRIndex.aspx>
- 3.3 KO: WEmAB9%D)BÑBÉ 2011 6Ê(•/& A_HRC_RES_17_4 Ê=™D Û
<http://www.ohchr.org/CH/PublicationsResources/Pages/ReferenceMaterial.aspx>
- 3.4 K O : W! 1 9 %oÛ @XÉ 1948 6 Ê + { 217A /& ÊÍ =™D Û
<http://www.ohchr.org/CH/PublicationsResources/Pages/ReferenceMaterial.aspx>
- 3.5 :m>R +e W WTO 2 0 ²+]2 D X)ã) D@;Q 6 >% C c W V = 3) ;(* = \3) [X, =™D Û
<http://www.wtoguide.net/index.php?g=&m=article&a=index&id=1056&cid=35>
- 3.6 ÑV É Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains,
SectionsÉDÛ <http://en.cccmc.org.cn/news/cccmcinformation/41161.htm>
- 3.7 ÑV (Chinese Guidelines for Social Responsibility in
Outbound Mining Investments, Provisions related to Child Labor and Occupational Health and SafetyÉDÛ
https://www.emm-network.org/case_study/cccmc-developing-guidelines-for-social-responsibility-
- 3.8 ÑV OECD Due
Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-RiskAreasÉDÛ
<http://www.oecd.org/corporate/mining.htm>
- 3.9 ÑV É The OECD Practical Action for Worst Forms of Child Labor (WFCL)
in Mining, SectionsÉDÛ
<http://www.oecd.org/daf/inv/investment-policy/child-labour-risks-in->
- 3.10 RCI BÑV=A)AÆD/.9Ø< Û=DÛ <http://www.cccmc.org.cn/tzgg/58371.htm>
- 3.11 RMI BÑB)AÇU Û=DÛ <http://www.responsiblemineralsinitiative.org/>
- 3.12 5á.>)'CŸ =f.>Dè)[2ùD' Í.L 3 9~, e 1oB→0³ / 9 Û <https://www.treasury.gov/resource-center/sanctions/Pages/default.aspx>
- 3.13 5á.3@E) Q Aê=P.E 0 8ã) ?;B@E :>)[e :m 8 6 F R :p 261A? .y 3 P e .>0³ / 9 Û
<https://www.dol.gov/agencies/ilab/reports/child-labor/list-of-goods>
- 3.14 4K/0.> 1533 D)6FÛ <https://www.un.org/securitycouncil/zh/sanctions/1533/materials>
- 3.15 RMI , A F e ;=* = √ . - À 9 B É CAHRÆ http://www.responsiblemineralsinitiative.org/minerals_-due-diligence/risk-management/conflict-affected-and-high-risk-areas/
- 3.16 4#7g.LL2(ÑB):0BÑ(I-D14q@W/0,EA9FX
- 3.17 4#7g.L2EAgmBÑDY

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3.18 EHSP-019WRBA 1B20E?PÓ

3.19 EHSP-020WRBA 30E?PÓ

3.20 EHSP-021WRBA aeD?PÓ

3.21 EHSP-022WRBA .3ÊTD?PÓ

3.22 EHSP-023WRBA /0D?PÓ

3.23 QP-003 W.AGh.3Î 2D')PÓ

3.24 NVT 员工手册》

3.25

<https://ec.europa.eu/trade/policy/in-focus/conflict-minerals-regulation/>

3.26 7 X 5 i D ') \$ 6 https://ec.europa.eu/headquarters/headquarters-homepage_en/8442/Consolidated%20list%20of%20sanctions

[homepage_en/8442/Consolidated%20list%20of%20sanctions](https://ec.europa.eu/headquarters/headquarters-homepage_en/8442/Consolidated%20list%20of%20sanctions)

?	6ç	,AF6W
4.1	≠β)[-É> 2010 6ÉI.èW,Ae --327H w19»B?6C/ÀE* AFÍ ≠β P É 3TGÉD Ú 1Ê' É AuÊ VIE TaÊ > É WÊ > É SnÊU3P 0 8E?PDÜ 2D/A6áR9,?A^ 8Q?6DS/. > 07400y 9)R≠e3)D?PD
4.2	≠≠(-.A 9BÉ CAHRAÊ	≠≠9BÊEDÉC60(JG0,-ey9B%5=5HA,Á (108E96.,BÁQ9:l/e-oy 9 0E6DS/. > 074 0° ÊEDÉ?;AD7,A90*0,0*26!04^04^A5 :p.02644,CCC7r53C6C7D -AB Ú 36357),0BCE/0CD;)9E)9AS06 Aä 0%3C60(JG0,ey9DC3A9e≠s(08,090 ,0.6,ÉD
4.9	-6DS/.> /4>	-6DS/..0B8E,2.0L98.2?e 9 -01EÉZ)5 pCD1,èS/..C-1S/. > (-1e 1')C5=06EC8D66C;PB(i kD
4.10		
4.4	2D3	D8TA4(f.1ZW0< 026E-a(9e)D1V nB8E0,0)2W,?.ye)3ÁND
4.5	CCCMC	É China Chamber of Commerce of Metals,Minerals&Chemicals Importers&Exporters Ê1.F3/Ê12m0DB1Z WV=.AQUeBÑÑ)[:pÍg414^DÝ WDI.>BÑÑ)[AQU2BÑÑD6° K WD1.,5=3A=WDë ?A:0BÑDAX
4.6	20#0EB,ÉZ E D É OECDÊ	20#0EB,ÉZ D D;4IW2/0ED-BÑ[AQU2D)D D 6X W 2/0ED2 D)D66?LIA1D(LÉD99906AS8E3P)P 2W, /?.2H*D-D6A106?≠AÑ0:Á9)P01Ue 97/LD2/0EDD6A.A006eA1P.AQU (http://mneguidelines.oecd.org/mining.htm)

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4 ■ / Terms and DefinitionÛ

8

5 ■ / ResponsibilityÛ

?&	1h:L6ç	DBÑ	D> /->
1.1 9C)D?9C)D?9A0R0Kq?C)B0B5)C TETQ EMC /P /MCID 23BDC			

1 管理者代表

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№	1h:L6)ç	DBÑ	D> /->
		3.2 1L-BÑB)P.yC)90AÇn)=g,.AÇn=M)5EÜ 3.3)P * CMRT .z=EM B*3)1695D"z47D6 4pCDEE1/93AÇn17#3)D 3.4)PDI,É.Ž CMRT .z=EM-B*3)P 3.5)P5(AÇn.AÇn1V30D 3.6 ,8?L3)D É)P C)B20IC)8:6D=8;3Î) C.3CÊE (I-AÇU-8!ae1,66D"z 2 Ê 3.8)/B,5.L6)? .y) 5aEzBÑB)P.y1mB7@Ü 3.9)/B2iÈ /91B-BÑB)P.y:7,Ü	D
4	品质保证部的主要职责	4.1 ?AÇ RBA /. GeSIO0D3P?AÇK/0.EEEe)ñ 7V-geD)AÇUeO)lt=2A5D)A)30,Ü 4.2 D)K923%4p0=f)AÇne:7./)/B?AÇne>Â /,Ü 4.3 ,5AB?,D1,(A)?)ÜAÇne2C0B,á. Đ	QA/23Î
5	项目技术部的管理职责	5.1)/B2iÈ e-BÑB)P.y:7BÑB)BÑP É)(8 BOMÊ #P.y?É/ST8)EEÜ 5.2 =T2iÈ-BÑB)P.ye%0999)VC:6iÜ 5.3 =T2iÈ-BÑB)P.ye=541)62iÈBÑB)P.y)PÓC)C-ID)E6) ?y) 5æ Ü 5.4)/B2iÈBÑB)P.N)DE CMRT 0 CRT #E -BÑLÑB)BÑP?AÇP)AÜ SRC)ED6/2iÈ	PLM/23Î
6	人力资源部门的管理职责	6.1 -BÑE)C3E /aeD)Ó2iÈ9eDD0Aa)Ü 6.2 9°C)D?0Añ,ÉC,ÉC)C)D;)A,É!,L3 9E)D)Ü 6.3 ,5.LBA)D1.)E)E /ae,ÉCE5%?A,ÉA)BÑB-> D1t4BÑÜ 6.4 ED2E)ZE /aeC2iÈ9,6e1mB7@/2Y.EEÁ59~ (D8TAAñ)P)E,6(e)Ü 6.5 -BÑ/5E3Eae-8!A)D)BÑP)± D(D	HR/23Î

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№	1h:L6ç	DBÑ	D> /->
		6.6 ED,8B:E.V=I08\$BA515?ËÿC)0,)/.09B' .E,6D 6.7 1t=,5,6EÇe.2a02:1s,662:(Ûÿ D?03P 6.8 B00eDB3D)02Û 6.9 D;-8la.3ÏD,Ëÿ 6.10)/06:5EB-ÿÛ 6.11)/B2Ë9ËBÑB)ÿ.y:7,Û	
7	员工的主要 职责	7.1 9CËNËAÿ3E /aeDÉO,É102ÏA9/. 1t=?.y70,0AÇÛ 7.2 DAVE9.LÇcD,)/.306EA-E09ËSTA.L6Û 7.3 ED9/ÿC:0/..EE(D)%636Û 7.4 000D-07/03ÏIAJ /-ÿ0,0:07?B:E.V=ÍDX ÿ8ÿTA3E /ae0ÉÏIAJ,2Ëÿ 7.5 ,Ã ÿ03E /ae)-/0#AÇC02:(I0(I-Ç ?y)5a9BÍ9?AÇC0AÇË6Û	HR/23Î
8	运营部	8.1 -BÿÿA,3Ë/\$BÑB)AÿBÿpe?A00Ç ÿÛ 8.2 D)2Ë9ËBÑB)ÿ.y:7,Û	OPS/23Î

6 ð / Process Description:

1x/ Stage	0, (*& Activit y No.	0,6)ç Activity Name	RASIC 1h:L29C'' Role matrix					E9Ï Input	0,6934 Activity	E* Output	.y0Ý 2D' ± KCP
			R	A	S	I	C				
	001	=>AÿAÇh e RMI_CMRT /. RMI_CRT ÿ)Û	SRC					.AÇh?Ã Ü RMI_CMRT /. RMI_CRT 6ÿE	,5.LAÿAÇh 1?9)ÿÿ)É)0EACÇ :me RMI_CMRT /. RMI_CRT ÿ)Û	AÿAÇh RMI_CMRT &RMI_CRT ÿÿ	
	002	-ÿÿ ÿÿ	SRC					.z=6ÿÿ Ü ?£10.AÇh ?Ã Ü .AÇh(-ÿ 4W)ËA	A5D793 SRC ?Ã-ÿÿ 1.?9ÏAÇhÜ 2..z,P 6ÿÿ Ü 3..AÇh(-ÿ4W)Ë	RMI_CMRT &RMI_CRT ÿÿ	

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1x./ Stage	0, (*& Activit y No.	0,6)ç Activity Name	RASIC 1h:L29C'' Role matrix					E9I Input	0,69% Activity	E* Output	.y0Y 2D' ± KCP
			R	A	S	I	C				
								4. 56B;E Ü			
	003	2)PÓE 9I	PM				Â6?Á Bžp?Á BOM i)RÉØ PÁ	C(É2)PÁ) e?6 Í PM Á BOM ?Á) (Ž) SRCD	RMI_CMRT &RMI CRT MŽ		
	004	C62)A9e MŽ	SRC				AñAÇm RMI_CMRT&R MI CRT) (Ž BOM (Ž	-Ú> PM Á BOM (B)5 AÇm(A4W)È ?.y?Á6é 2)MŽ -Ú PM9E< (' -Ø RMI_CMRT&RMI _CRT 6;D -D	MŽ		
	005	A2)È	PM				MŽ	A2)MŽ	MŽ		

7 Ø /Procedure:

7.1 2ÈAC)mB

Q&	ç	W
7.1.1	,5)*[C8 D+(DD) (BAÉ)) ÷) 5a-JAÇm .) 3Í BÑ) 5a2È CZ Q * =\3 P R 0' Q B Ñ - 3)[R AC; 1mB	7069500 1) (-411Añy Q ðP R 0' Q BÑ)[R ?.y.0k.6DŮ 2) ABC7(0)ÉD7@B1Ñ 3) (-1LC7(0)ÉD7@B1Ñ D?%0Ů 4) (- AñlQ ðP R 0' Q BÑ)[R ?.yA9@AÇm Í) =g , .J AÇm5ED?Û 5) .Lβ2@D.3)6D

7.2 QF),É2D.3)B0E)DI5E;

Q&	ç	W

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7.2.1) DIA Ū4C=<g e8TA-öβÍ Æ Ò	<p>.LAÇÛ</p> <p>1) D;)5E;yA8Dç*AN.-ÀBe3)DB•AÇUeCÝ)@Í) ?AÇn0:LD1?9E D CAC)QZBÑÈNe(DÑ</p> <p>2) :%G/0e6>.30!D)AÇU2BÑÇÏD</p> <p>3) 1I4C3)DB•AÇU2Df=-Y)E .LAÇ3)e:)B5Ô81I4C04U0DÑ Í)1L 2BÑÍ ?;AE -Ù a8TAD.e3B8TA/Á9a8TA2EDç2BÑ 3Í D A A Çe 3B8TAA222ÉZBÑÍ8TA1?9C B8E.AÇnA 8Q2È C Z BÑ .3D a8TAAÇI4C.AÇUe=-Y)E Í A5(60•pAiy0YB,Ñ ?;Ã Í 9È A2(e.y0YÉ2Ö 6.2.4Á508E3B•00y9e?Ñ</p> <p>4) 08B.AÇne/0ED -AÇU2D.3)EEDAÇ9B.AÇne/0B0 ?ŽAB2ê 6½e 9 3 ã Í AÇ4?D)AÇn1?4G1I:ÑE2BÑÍ0%D</p> <p>5) 1I4C8TA0?A)D6e:QDÉ>B2ÁA),Đ</p>
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<p>7.2.2</p>	<p>)DI, .ÁÇU - ë(B8!a</p>	<p>.LARÛ ,5ACÿ0Á0EDEDK/0.C75027B»z,Á *e. D' A9Í 9ÈB»z, Bq#1B-00-ÀE ì ÁAÇ 4q9Ì. IAÇ4U- ò (B 8!ae>6D 1) ,5A8B»02?/&e.AÇn C3B093 Í)92BÑÍ Í A 5; (:AÇ 4U-D :pA8TAAÛ a) 1?B!a Í 20F,0/0Ee,5067q,0:)[C.} 3Û.1\A 8 ?µDe ?Ñ b) ,5/5eDB1?Aá8!a Í A59;B?%4p(-=I.ÿ,P @'41 3B• yD A8TAAÛ ,W.AÇUD1:pAiy0YBC€ 08EA2(e.y0Y-2ÈZ12BÑÍ ÈÈ È 97/20de:?,?Á C.L2ÈC)@I-Ç Í Ê A538!a- ò D,5 A ùk (-• B40.E)8ÁA8TA,8A5D1t.J 0 :m63D (' :p A y)/ B CÈÈ 2Y(B:pAiy0YBCE»(0?A)D61?µt * Íe3Û 5è 2ÈC Z D .} 3Û)/ B:?,D</p>
<p>7.2.3</p>	<p>)DI90C A22 ;(e- D',) AÇ)E</p>	<p>.LARÛ 1) 58D!z 2 A5DÁ (I -Ç?; Í ?L ß -À)DÈ) C/Ø1B2Ö "9QE C? × /?60V) C.3CÈ ì Á-ÇU-8!ae1,ÍeD405Ü 2) :08ç08D:08 -ç08I.Û a) B1VnD9Ç.7D10?UA8Ü b) B)2UVnD9Ç.7D1B1D1D1A8Ü c) 9hVn-87M4G02,ÉVn-6B,Ét=ÍD6D /.. IA Ç :me.y ð 3) ;ç08 Í 0)C/.DØ1Vn-80% Í (DÇV n.ÿí DIB.J AÇn03ÛG?.y,µ.V=105Í?D,e-À.3)D0(ID 4) ,5?Á1Vne-ç?B!a)8!aA2B93,Á/ET1?D</p>

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<p>7.2.4</p>	<p>) DIâ Û,5.AQU D1A2;(‘e.y0Ý /Ø 2ËZ4C† 9P 8!aB:¿</p>	<p>.LARÛ 1) ,AF ?É1?2D)JAQne,× Í)2ËZ4C:¿, D,! 4C† 9P 2ê A5 (2Ë, CLD 2ËZ4C:¿, Í 2Ë TUV, SGS, RCS Global #LB:¿, 5B 2ËZ4C:¿. 3B 2ËZ4C:¿» ISO45001 0 ISO14001 2ËZ4C:¿, 2ËZ4C:¿ - /0?0‘ ; D;2CB,¿. Í), 2ËZ4C:¿ 2ËZ4C:¿) 5æ» BÑD 2) .AQU D1A2((y0Ý /Ø 1{e 8TA Í 8E2BÑ.} 3Í; 0ÚAÇt = ,! 4C† 9P ,P :” /, DR8=ed. 58E.AQU 1? 2ËZ4C:¿ 2ËZ4C:¿, y0Ý 1 † Í AÇ 2ËZ4C:¿ AD10;DBe.y0Ý</p>
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7.2.5) DI F Û, 5. IA ÇU - ð ß Î ÷ / 1, . ð ÷ Ñ - Ç	. LA Ç Û 1) . L2 Ë - Ç Ç U 2 B Ñ Î Ç) B 0 Ú Í 3 % 2 (ð - ð 1 V ñ - ð A 2) * 9, e ð 2) 1 L . A Ç U 2 B Ñ Î ? ð 0 ð ð 8 T A : 0 B Ñ (I - Ç 6 ð D ÷ (I - Ç D . L 2 Ë Ë E A ! C v 9 9 % a m A , Ë ð e A 9 Í , ð . L D ; L 2 Ë C ? 3 Ä G ? , y , Ë 2 Ë , A D ? ð 0 • B ð ð A ? . L D ; L) C Ñ ð 3) ? C ð ð X 5 æ 0 9 ð E D . L 2 Ë A Ç U B Ñ 3) P Ä Û . A Ç U ? . y e 2 ÷ È C . J A ç m , ð 8 E ? . y e . A Ç U 6 ç C : ? , 9 3 C ð) D / 3 ð E C Z Û B 6 ð (I - Ç 0 D ð ? ± 9 3 D
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8 ð / Appendix Û

8.1 - ð A Û) / 2 ð 4 p B ð D B A ù CCCMC F3 / Ë 1 2 ð m 0 e = C ð Ê

8.2 - ð ß : E 9 B Ñ 3) C) 6 ð ð A W D 1 . ð B Ñ 3) 2 D) D E X

8.3 - ð 0 ð 9 9 0 ð

8.4 - ð ð Human rights and transnational corporations and other business enterprises

8.5 - ð E Ñ Ç U 0 3 (C 9 9 % B Ñ 3) / 2 (D 1 9 C ð A W D 1 . , 5 = ð A : 0 B Ñ D A X

9 ð / Form Generated Û

9.1 ð ð ð ð / The latest revision of the
D 2

9.2 RMI_CRT9F

9.3 ð

9.4 ð

9.5 RMI_CMRT9F

9.6 ð / Other documents attached to the relevant form Û

- ð A Û 2 ð 4 p B ð D E B A ù CCCMC F3 / Ë 1 2 ð m 0 e = C ð Ê

1. Chinese Due Diligence Guidelines: W D 1 . ð - ð B Ñ 3) [. J A Ç U 2 B Ñ Î 3 Î D 6 ° X - ð Û

<http://en.cccmc.org.cn/news/cccmcinformation/41161.htm>

2. OECD Practical Action on Worst Forms of Child Labor: W . 0 2 / 0 E D , 5 E , R 4 t e = P . E e (D / ð D Û

<http://www.oecd.org/daf/inv/investment-policy/child-labour-risks-in-the-minerals-supply-chain.htm>

3. Chinese Guidelines for Social Responsibility: W D 1 . , 5 = ð A = W D ð A : 0 B Ñ D A X ð Û

https://www.emm-network.org/case_study/ccmc-developing-guidelines-for-social-responsibility-in-outbound-mining-investment/

4. Universal Declaration of Human Rights: W ! 1 ^ 9 - 9 % 0 ? Û @ X = T M D Û

<http://www.ohchr.org/CH/UDHR/Pages/Resources.aspx>

5. Human rights and transnational corporations and other business enterprises ð K / 0 . W . E : m A B 9 9 0 B Ž

B ð D Û <http://www.ohchr.org/CH/PublicationsResources/Pages/ReferenceMaterial.aspx>

6. Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (OECD Guidance) W 2 0 0 E B , ð Z D . y A B ð ð * A Ñ . - ð B e 3 e - B Ñ A Ç

4 U 2 D) D 6 X D Û <http://www.oecd.org/daf/inv/mne/DDG-Chinese-web.pdf>